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**Applicant or Patentee:** Shawn D. Cartwright

**Serial or Patent No.:** 09/676,448

**Attorney's Docket No.:** CRTW-0004

**Date Filed or Issued:** September 29, 2000

**For:** SYSTEM AND METHODS FOR OBTAINING ADVANTAGES AND  
TRANSACTIONING THE SAME

**STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS (37 CFR 1.9(c)  
and 1.27(b)) - INDEPENDENT INVENTOR**

As a below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention described in the

- ☐ specification filed herewith, with title as listed above.
- ☒ application identified above.
- ☐ patent number identified above.

I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

- ☒ no such person, concern, or organization
- ☐ person, concerns or organizations listed below\*

**\*NOTE: Separate statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)**

**FULL NAME:** Shawn D. Cartwright

**ADDRESS:** 149B North 3<sup>rd</sup> Street, Philadelphia, PA 19106

☒ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

**NAME OF PERSON SIGNING:**

**TITLE OF PERSON SIGNING:**

**ADDRESS OF PERSON SIGNING:**

  
\_\_\_\_\_  
SHAWN D. CARTWRIGHT

11/17/2000  
\_\_\_\_\_  
DATE